

**RULES OF THE  
UNITED STATES COURT  
OF INTERNATIONAL TRADE**

**GOVERNING COMPLAINTS OF JUDICIAL  
MISCONDUCT OR DISABILITY**

EFFECTIVE: Aug. 1, 1987, revised, April 8, 1992, eff. June 1, 1992; Aug. 29, 2000, eff. Jan. 1, 2001.

# **RULES OF THE UNITED STATES COURT OF INTERNATIONAL TRADE GOVERNING COMPLAINTS OF JUDICIAL MISCONDUCT AND DISABILITY**

## **Preface to the Rules**

Section 372(c) of Title 28 of the United States Code provides a way for any person to complain about a federal judge who the person believes "has engaged in conduct prejudicial to the effective and expeditious administration of the business of the courts" or "is unable to discharge all the duties of office by reason of mental or physical disability." It also permits the court to adopt rules for the consideration of these complaints. These rules have been adopted under that authority.

Complaints are filed with the clerk of the court on a form that has been developed for that purpose. Each complaint is referred first to the chief judge of the court, who decides whether the complaint raises an issue that should be investigated. (If the complaint is about the chief judge, another judge will make this decision; see Rule 18(f)).

The chief judge will dismiss a complaint if it does not properly raise a problem that is appropriate for consideration under Section 372(c). The chief judge also may conclude the complaint proceeding if the problem has been corrected or if intervening events have made action on the complaint unnecessary. If the complaint is not disposed of in either of these two ways, the chief judge will appoint a special committee to investigate the complaint. The special committee makes its report to the court, which decides what action, if any, should be taken.

The rules provide, in some circumstances, for review of decisions of the chief judge or of the court.

## Chapter I: Filing a Complaint

### RULE 1. WHEN TO USE THE COMPLAINT PROCEDURE

**(a) Purpose of the procedure.** The purpose of the complaint procedure is to improve the administration of justice in the federal courts by taking action when judges have engaged in conduct that does not meet the standards expected of federal judicial officers or are physically or mentally unable to perform their duties. The law's purpose is essentially forward-looking and not punitive. The emphasis is on correction of conditions that interfere with the proper administration of justice in the courts.

**(b) What may be complained about.** The law authorizes complaints about judges of the United States Court of International Trade who have "engaged in conduct prejudicial to the effective and expeditious administration of the business of the courts" or who are "unable to discharge all the duties of office by reason of mental or physical disability."

"Conduct prejudicial to the effective and expeditious administration of the business of the courts" is not a precise term. It includes such things as use of the judge's office to obtain special treatment for friends and relatives, acceptance of bribes, improperly engaging in discussions with lawyers or parties to cases in the absence of representatives of opposing parties and other abuses of judicial office. It does not include making wrong decisions--even very wrong decisions--in cases. The law provides that a complaint may be dismissed if it is "directly related to the merits of a decision or procedural ruling."

"Mental or physical disability" may include temporary conditions, as well as permanent disability.

**(c) Who may be complained about.** The complaint procedure and these rules apply to judges of the United States Court of International Trade.

Complaints about other officials of federal courts should be made to their supervisors in the various courts. If such a complaint cannot be satisfactorily resolved at lower levels, it may be referred to the chief judge of the court in which the official is employed. The clerk of the court, whose address is One Federal Plaza, New York, New York 10278-0001, is sometimes able to provide assistance in resolving such complaints.

**(d) Time for filing complaints.** A complaint may be filed at any time. However, complaints should be filed promptly. A complaint may be dismissed if it is filed so long after the events in question that the delay will make fair consideration of the matter impossible. A complaint also may be dismissed if it does not indicate the existence of a current problem with the administration of the business of the courts.

**(e) Limitations on use of the procedure.** The complaint procedure is not intended to provide a means of obtaining review of a judge's decision or ruling in a case. The court, acting under the complaint procedure, does not have the power to change a decision or ruling.

The complaint procedure may not be used to have a judge disqualified from sitting on a particular case. A motion for disqualification should be made in the case.

Also, the complaint procedure may not be used to force a ruling on a particular motion or other matter that has been before the judge too long. A petition for mandamus can sometimes be used for that purpose.

## **RULE 2. HOW TO FILE A COMPLAINT**

**(a) Form.** Complaints should be filed on the official form for filing complaints in this court, which is reproduced in the appendix to these rules. Forms may be obtained by writing or telephoning the clerk of the court, One Federal Plaza, New York, New York 10278-0001, telephone 212-264-2800. Forms may be picked up in person at the office of the clerk of the court.

**(b) Statement of facts.** A statement should be attached to the complaint form, setting forth with particularity the facts that the claim of misconduct or disability is based on. The statement should not be longer than five pages (five sides), and the paper size should not be larger than the paper the form is printed on. Normally, the statement of facts will include--

(1) A statement of what occurred;

(2) The time and place of the occurrence or occurrences; and

(3) Any other information that would assist an investigator in checking the facts, such as the presence of a court reporter or other witness and their names and addresses.

**(c) Legibility.** Complaints should be typewritten if possible. If not typewritten, they must be legible.

**(d) Submission of documents.** Documents such as excerpts from transcripts may be submitted as evidence of the behavior complained about; if they are, the statement of facts should refer to the specific pages in the documents on which relevant material appears.

**(e) Number of copies.** If the complaint is about a single judge of the court, three copies of the complaint form, the statement of facts and any documents submitted must be filed. If the complaint is about more than one judge, enough copies must be filed to provide one for the clerk of the court, one for the chief judge of the court and one for each judge complained about.

**(f) Signature and oath.** The form must be signed and the truth of the statement verified in writing under oath. As an alternative to taking an oath, the complainant may declare under penalty of perjury that the statements are true. The complainant's address also must be provided.

**(g) Anonymous complaints.** Anonymous complaints are not handled under these rules. However, anonymous complaints received by the clerk will be forwarded to the chief judge of the court for such action as the chief judge considers appropriate. See Rule 20.

**(h) Where to file.** Complaints should be sent to

Clerk, United States Court of International Trade  
One Federal Plaza  
New York, New York 10278-0001

The envelope should be marked "Complaint of Misconduct" or "Complaint of Disability." The name of the judge complained about should not appear on the envelope.

**(i) No fee required.** There is no filing fee for complaints of misconduct or disability.

**(j) Chief judge's authority to initiate complaint.** In the interest of effective and expeditious administration of the business of the courts and on the basis of information available to the chief judge of the court, the chief judge may, by written order stating reasons therefor, identify a complaint as authorized by 28 U.S.C. § 372(c)(1) and thereby dispense with the filing of a written complaint. A chief judge who has identified a complaint under this rule will not be considered a complainant and, subject to the second sentence of Rule 18(a), will perform all functions assigned to the chief judge under these rules for the determination of complaints filed by a complainant.

### **RULE 3. ACTION BY CLERK OF COURT UPON RECEIPT OF A COMPLAINT**

**(a) Receipt of complaint in proper form.** Upon receipt of a complaint against a judge filed in proper form under these rules, the clerk of the court will open a file, assign a docket number and acknowledge receipt of the complaint. The clerk will promptly send copies of the complaint to the chief judge of the court (or the judge authorized to act as chief judge under Rule 18(f)) and to each judge whose conduct is the subject of the complaint. The original of the complaint will be retained by the clerk.

Upon the issuance of an order by the chief judge identifying a complaint under Rule 2(j), the clerk will thereafter expeditiously process such complaint as otherwise provided by these rules.

**(b) Receipt of complaint about official other than a judge of the court.** If the clerk receives a complaint about an official other than a judge of the court, the clerk will not accept the complaint for filing and will advise the complainant in writing of the procedure for processing such complaints.

**(c) Receipt of complaint about a judge of the court and another official.** If a complaint is received about a judge of the court and another official, the clerk will accept the complaint for filing only with regard to the judge and will advise the complainant accordingly.

**(d) Receipt of complaint not in proper form.** If the clerk receives a complaint against judge of this court that uses the complaint form but does not comply with the requirements of Rule 2, the clerk will normally not accept the complaint for filing and will advise the complainant of the appropriate procedures. If a complaint against a judge is received in letter form, the clerk will normally not accept the letter for filing as a complaint, will advise the writer of the right to file a

formal complaint under these rules and will enclose a copy of these rules and the accompanying forms.

## **Chapter II: Review of a Complaint by the Chief Judge**

### **RULE 4. REVIEW BY THE CHIEF JUDGE**

**(a) Purpose of chief judge's review.** When a complaint in proper form is sent to the chief judge by the clerk's office, the chief judge will review the complaint to determine whether it should be (1) dismissed, (2) concluded on the ground that corrective action has been taken, (3) concluded because intervening events have made action on the complaint no longer necessary or (4) referred to a special committee.

**(b) Inquiry by chief judge.** In determining what action to take, the chief judge may conduct a limited inquiry for the purpose of determining (1) whether appropriate corrective action has been or can be taken without the necessity for a formal investigation, (2) whether intervening events have made action on the complaint unnecessary and (3) whether the facts stated in the complaint are either plainly untrue or are incapable of being established through investigation. For this purpose, the chief judge may request the judge whose conduct is complained of to file a written response to the complaint. The chief judge also may communicate orally or in writing with the complainant, the judge whose conduct is complained of and other people who may have knowledge of the matter and may review any transcripts or other relevant documents. The chief judge will not undertake to make findings of fact about any matter that is reasonably in dispute.

**(c) Dismissal.** A complaint will be dismissed if the chief judge concludes--

(1) that the claimed conduct, even if the claim is true, is not "conduct prejudicial to the effective and expeditious administration of the business of the courts" and does not indicate a mental or physical disability resulting in inability to discharge the duties of office;

(2) that the complaint is directly related to the merits of a decision or procedural ruling;

(3) that the complaint is frivolous, a term that includes making charges that are wholly unsupported; or

(4) that, under the statute, the complaint is otherwise not appropriate for consideration.

**(d) Corrective action.** The complaint proceeding will be concluded if the chief judge determines that appropriate action has been taken to remedy the problem raised by the complaint or that action on the complaint is no longer necessary because of intervening events.

**(e) Appointment of special committee.** If the complaint is not dismissed or concluded, the chief judge will promptly appoint a special committee, constituted as provided in Rule 9, to investigate the complaint and make recommendations to the court. However, ordinarily a special committee will not be appointed until the judge complained about has been invited to respond to the complaint and has been allowed a reasonable time to do so. In the discretion of the chief judge, separate complaints may be joined and assigned to a single special committee; similarly, a single complaint about more than one judge may be severed and more than one special committee appointed.

**(f) Notice of chief judge's action.**

(1) If the complaint is dismissed or the proceeding concluded on the basis of corrective action taken or because intervening events have made action on the complaint unnecessary, the chief judge will prepare a supporting memorandum that sets forth the allegations of the complaint and the reasons for the disposition. The memorandum will not include the name of the complainant or of the judge whose conduct was complained of. The order and the supporting memorandum will be provided to the complainant and the judge. The complainant will be notified of the right to petition the court for review of the decision and of the deadline for filing a petition.

(2) If a special committee is appointed, the chief judge will notify the complainant and the judge whose conduct is complained of that the matter has been referred and will inform them of the membership of the committee.

**(g) Public availability of chief judge's decision.** Materials related to the chief judge's decision will be made public at the time and in the manner set forth in Rule 17.

**(h) Report to the court.** The chief judge will from time to time report to the court on actions taken under this rule.

### **Chapter III: Review of Chief Judge's Disposition of a Complaint**

#### **RULE 5. PETITION FOR REVIEW OF CHIEF JUDGE'S DISPOSITION**

If the chief judge dismisses a complaint or concludes the proceeding on the ground that corrective action has been taken or that intervening events have made action unnecessary, a petition for review may be addressed to the court. The court may affirm the order of the chief judge, return the matter to the chief judge for further action, or, in exceptional cases, take other appropriate action.

## **RULE 6. HOW TO PETITION FOR REVIEW OF A DISPOSITION BY THE CHIEF JUDGE**

**(a) Time.** A petition for review must be received in the office of the clerk of the court within 30 days of the date of the clerk's letter to the complainant transmitting the chief judge's order.

**(b) Form.** A petition should be in the form of a letter, addressed to the clerk of the court, beginning "I hereby petition the court for review of the chief judge's order . . . ." There is no need to enclose a copy of the original complaint.

**(c) Legibility.** Petitions should be typewritten if possible. If not typewritten, they must be legible.

**(d) Number of copies.** Only an original is required.

**(e) Statement of grounds for petition.** The letter should set forth a brief statement of the reasons why the petitioner believes that the chief judge should not have dismissed the complaint or concluded the proceeding. It should not repeat the complaint; the complaint will be available to members of the court considering the petition.

**(f) Signature.** The letter must be signed.

**(g) Where to file.** Petition letters should be sent to

Clerk, United States Court of International Trade  
One Federal Plaza  
New York, New York 10278-0001

The envelope should be marked "Misconduct Petition" or "Disability Petition." The name of the judge complained about should *not* appear on the envelope.

**(h) No fee required.** There is no fee for filing a petition under this procedure.

## **RULE 7. ACTION BY CLERK OF COURT UPON RECEIPT OF A PETITION FOR REVIEW**

**(a) Receipt of timely petition in proper form.** Upon receipt of a petition for review filed within the time allowed and in proper form under these rules, the clerk of the court will acknowledge receipt of the petition. The clerk will promptly send to each member of the court, except for any member disqualified under Rule 18, copies of (1) the complaint form and statement of facts, (2) any response filed by the judge, (3) any record of information received by the chief judge in connection with the chief judge's consideration of the complaint, (4) the chief judge's order disposing of the complaint, (5) any memorandum in support of the chief judge's order, (6) the petition for review, (7) any other documents in the files of the clerk that appear to be relevant and material to the petition, (8) a list of any documents in the clerk's files that are not being sent because they are not considered relevant and material and (9) a ballot that conforms with Rule 8(a). The clerk also will



send the same materials, except for the ballot, to the chief judge of the court and each judge whose conduct is at issue, except that materials previously sent to a person may be omitted.

**(b) Receipt of untimely petition.** The clerk will refuse to accept a petition that is received after the deadline set forth in Rule 6(a).

**(c) Receipt of timely petition not in proper form.** Upon receipt of a petition filed within the time allowed but not in proper form under these rules (including a document that is ambiguous about whether a petition for review is intended), the clerk will acknowledge receipt of the petition, call the petitioner's attention to the deficiencies and give the petitioner the opportunity to correct the deficiencies within fifteen days of the date of the clerk's letter or within the original deadline for filing the petition, whichever is later. If the deficiencies are corrected within the time allowed, the clerk will proceed in accordance with paragraph (a) of this rule. If the deficiencies are not corrected, the clerk will reject the petition.

## **RULE 8. REVIEW BY THE COURT OF A CHIEF JUDGE'S ORDER**

**(a) Mail ballot.** Each member of the court to whom a ballot was sent will return a signed ballot, or otherwise communicate the member's vote, to the clerk of the court. The ballot form will provide opportunities to vote to (1) affirm the chief judge's disposition or (2) place the petition on the agenda of a meeting of the court. The form also will provide an opportunity for members to indicate that they have disqualified themselves from participating in consideration of the petition.

Votes will be tabulated when all members of the court to whom ballots were sent have either voted or indicated that they are disqualified. After 20 days from the date the petition and related materials were sent to members of the court, votes may be tabulated if they have been cast by at least two-thirds of the members to whom ballots were sent. Members who have disqualified themselves will be treated for this purpose as if ballots had not been sent to them.

If all of the votes cast are for affirmance, the chief judge's order will be affirmed. If any of the members votes to place the petition on the agenda of a court meeting, that will be done.

**(b) Availability of documents.** Upon request, the clerk will make available to any member of the court or to the judge complained about any document from the files that was not sent to the court members pursuant to Rule 7(a).

**(c) Vote at meeting of court.** If a petition is placed on the agenda of a meeting of the court, court action may be taken by a majority of the members present and voting.

**(d) Rights of judge complained about.**

(1) At any time after the filing of a petition for review by a complainant, the judge complained about may file a written response with the clerk of the court. The clerk will promptly distribute copies of the response to each member of the court who is

not disqualified, to the chief judge and to the complainant. The judge may not communicate with individual court members about the matter, either orally or in writing.

(2) The judge complained about will be provided with copies of any communications that may be addressed to the members of the court by the complainant.

**(e) Notice of court decision.**

(1) The order of the court, together with any accompanying memorandum in support of the order, will be provided to the complainant and the judge.

(2) If the decision is unfavorable to the complainant, the complainant will be notified that the law provides for no further review of the decision.

(3) A memorandum supporting a court order will not include the name of the complainant or the judge whose conduct was complained of. If the order of the court affirms the chief judge's disposition, a supporting memorandum will be prepared only if the court concludes that there is a need to supplement the chief judge's explanation.

**(f) Public availability of court decision.** Materials related to the court's decision will be made public at the time and in the manner set forth in Rule 17.

## **Chapter IV: Investigation and Recommendation by Special Committee**

### **RULE 9. APPOINTMENT OF SPECIAL COMMITTEE**

**(a) Membership.** A special committee appointed pursuant to Rule 4(e) will consist of the chief judge of the court and not less than two other judges of the court.

**(b) Presiding officer.** At the time of appointing the committee, the chief judge will designate one of its members (who may be the chief judge) as the presiding officer. When designating another member of the committee as the presiding officer, the chief judge also may delegate to such member the authority to direct the clerk of the court to issue subpoenas related to proceedings of the committee.

**(c) Provision of documents.** The chief judge will certify to each other member of the committee copies of (1) the complaint form and statement of facts and (2) any other documents on file pertaining to the complaint (or to that portion of the complaint referred to the special committee).

**(d) Continuing qualification of committee members.** A member of a special committee who was qualified at the time of appointment may continue to serve on the committee even though the member relinquishes the position of chief judge or active judge of this court, as the case may be, but only if the member continues to hold office under Article III, Section 1, of the Constitution of the United States.

**(e) Inability of committee member to complete service.** In the event that a member of a special committee can no longer serve because of death, disability, disqualification, resignation, retirement from office or other reason, the chief judge of the court will determine whether to appoint a replacement member. However, no special committee appointed under these rules will function with only a single member, and the quorum and voting requirements for a two member committee will be applied as if the committee had three members.

## **RULE 10. CONDUCT OF AN INVESTIGATION**

**(a) Extent and methods to be determined by committee.** Each special committee will determine the extent of the investigation and the methods of conducting it that are appropriate in the light of the allegations of the complaint. If, in the course of the investigation, the committee develops reason to believe that the judge may have engaged in misconduct that is beyond the scope of the complaint, the committee may, with written notice to the judge, expand the scope of the investigation to encompass such misconduct.

**(b) Criminal matters.** In the event that the complaint alleges criminal conduct on the part of a judge, or in the event that the committee becomes aware of possible criminal conduct, the committee will consult with the appropriate prosecuting authorities to the extent permitted by 28 U.S.C. § 372(c)(14) in an effort to avoid compromising any criminal investigation. However, the committee will make its own determination about the timing of its activities, having in mind the importance of ensuring the proper administration of the business of the courts.

**(c) Staff.** The committee may arrange for staff assistance in the conduct of the investigation. It may use existing staff of the judicial branch or may arrange, through the Administrative Office of the United States Courts, for the hiring of special staff to assist in the investigation.

**(d) Delegation.** The committee may delegate duties in its discretion to subcommittees, to staff members or to individual committee members. The authority to exercise the committee's subpoena powers may be delegated only to the presiding officer. In the case of failure to comply with such subpoena, the court or special committee may institute a contempt proceeding consistent with 28 U.S.C. § 332(d).

**(e) Report.** The committee will file with the court a comprehensive report of its investigation, including findings of the investigation and the committee's recommendations for court action. Any findings adverse to the judge will be based on evidence in the record. The report will

be accompanied by a statement of the vote by which it was adopted, any separate or dissenting statements of committee members and the record of any hearings held pursuant to Rule 11.

**(f) Voting.** All actions of the committee will be by vote of a majority of all of the members of the committee.

## **RULE 11. CONDUCT OF HEARINGS BY SPECIAL COMMITTEE**

**(a) Purpose of hearings.** The committee may hold hearings to take testimony and receive other evidence, to hear argument or both. If the committee is investigating allegations against more than one judge, it may, in its discretion, hold joint hearings or separate hearings.

**(b) Notice to judge complained about.** The judge complained about will be given adequate notice in writing of any hearing held, its purposes, the names of any witnesses whom the committee intends to call and the text of any statements that have been taken from such witnesses. The judge may at any time suggest additional witnesses to the committee.

**(c) Committee witnesses.** All persons who are believed to have substantial information to offer will be called as committee witnesses. Such witnesses may include the complainant and the judge complained about. The witnesses will be questioned by committee members, staff or both. The judge will be afforded the opportunity to cross-examine committee witnesses, personally or through counsel.

**(d) Witnesses called by the judge.** The judge complained about also may call witnesses and may examine them personally or through counsel. Such witnesses also may be examined by committee members, staff or both.

**(e) Witness fees.** Witness fees will be paid as provided in 28 U.S.C. § 1821.

**(f) Rules of evidence; oath.** The Federal Rules of Evidence will apply to any evidentiary hearing except to the extent that departures from the adversarial format of a trial make them inappropriate. All testimony taken at such a hearing will be given under oath or affirmation.

**(g) Record and transcript.** A record and transcript will be made of any hearing held.

## **RULE 12. RIGHTS OF JUDGE IN INVESTIGATION**

**(a) Notice.** The judge complained about is entitled to written notice of the investigation (Rule 4(f)), to written notice of expansion of the scope of an investigation (Rule 10(a)) and to written notice of any hearing (Rule 11(b)).

**(b) Presentation of evidence.** The judge is entitled to a hearing, has the right to present evidence and to compel the attendance of witnesses and the production of documents at the

hearing. Upon request of the judge, the chief judge or his designee will direct the clerk of the court to issue a subpoena in accordance with 28 U.S.C. § 332(d)(1).

**(c) Presentation of argument.** The judge may submit written argument to the special committee at any time, and will be given a reasonable opportunity to present oral argument at an appropriate stage of the investigation.

**(d) Attendance at hearings.** The judge will have the right to attend any hearing held by the special committee and to receive copies of the transcript and any documents introduced, as well as to receive copies of any written arguments submitted by the complainant to the committee.

**(e) Receipt of committee's report.** The judge will have the right to receive the report of the special committee at the time it is filed with the court.

**(f) Representation by counsel.** The judge may be represented by counsel in the exercise of any of the rights enumerated in this rule. The costs of such representation may be borne by the United States as provided in Rule 14(h).

## **RULE 13. RIGHTS OF COMPLAINANT IN INVESTIGATION**

**(a) Notice.** The complainant is entitled to written notice of the investigation as provided in Rule 4(f). Upon the filing of the special committee's report to the court, the complainant will be notified that the report has been filed and is before the court for decision. Although the complainant is not entitled to a copy of the report of the special committee, the court may, in its discretion, release a copy of the report of the special committee to the complainant.

**(b) Opportunity to provide evidence.** The complainant is entitled to be interviewed by a representative of the committee. If it is believed that the complainant has substantial information to offer, the complainant will be called as a witness at a hearing.

**(c) Presentation of argument.** The complainant may submit written argument to the special committee at any time. In the discretion of the special committee, the complainant may be permitted to offer oral argument.

**(d) Representation by counsel.** A complainant may submit written argument through counsel and, if permitted to offer oral argument, may do so through counsel.

## **Chapter V: Court Consideration of Recommendations of Special Committee**

### **RULE 14. ACTION BY COURT**

**(a) Purpose of court consideration.** After receipt of a report of a special committee, the court will determine whether to dismiss the complaint, conclude the proceeding on the ground that

corrective action has been taken or that intervening events make action unnecessary, refer the complaint to the Judicial Conference of the United States or order corrective action.

**(b) Basis of court action.** Subject to the rights of the judge to submit argument to the court as provided in Rule 15(a), the court may take action on the basis of the report of the special committee and the record of any hearings held. If the court finds that the report and record provide an inadequate basis for decision, it may (1) order further investigation and a further report by the special committee or (2) conduct such additional investigation as it deems appropriate.

**(c) Dismissal.** The court will dismiss a complaint if it concludes--

(1) that the claimed conduct, even if the claim is true, is not "conduct prejudicial to the effective and expeditious administration of the business of the courts" and does not indicate a mental or physical disability resulting in inability to discharge the duties of office;

(2) that the complaint is directly related to the merits of a decision or procedural ruling;

(3) that the facts on which the complaint is based have not been demonstrated; or

(4) that, under the statute, the complaint is otherwise not appropriate for consideration.

**(d) Conclusion of the proceeding on the basis of corrective action taken.** The court will conclude the complaint proceeding if it determines that appropriate action has already been taken to remedy the problem identified in the complaint, or that intervening events make such action unnecessary.

**(e) Referral to Judicial Conference of the United States.** The court may, in its discretion, refer a complaint to the Judicial Conference of the United States with the court's recommendations for action. It is required to refer such a complaint to the Judicial Conference of the United States if the court determines that a judge of this court may have engaged in conduct--

(1) that might constitute ground for impeachment; or

(2) that, in the interest of justice, is not amenable to resolution by the court.

**(f) Order of corrective action.** If the complaint is not disposed of under paragraphs (c) through (e) of this rule, the court will take other action to assure the effective and expeditious administration of the business of the courts. Such action may include, among other measures--

(1) Censuring or reprimanding the judge, either by private communication or by public announcement;

(2) Ordering that, for a fixed temporary period, no new cases be assigned to the judge;

(3) Requesting the judge to retire voluntarily with the provision (if necessary) that ordinary length-of-service requirements will be waived; or

(4) In the case of a judge who is eligible to retire but does not do so, certifying the disability of the judge under 28 U.S.C. § 372(b) so that an additional judge may be appointed.

**(g) Combination of actions.** Referral of a complaint to the Judicial Conference of the United States under paragraph (e) will not preclude the court from simultaneously taking such other action under paragraph (f) as is within its power.

**(h) Recommendation about fees.** Upon the request of a judge whose conduct is the subject of a complaint, the court may, if the complaint has been finally dismissed, recommend that the Director of the Administrative Office of the United States Courts award reimbursement, from funds appropriated to the judiciary, for those reasonable expenses, including attorneys' fees, incurred by that judge during the investigation, which would not have been incurred but for the requirements of 28 U.S.C. § 372(c) and these rules.

**(i) Notice of action of court.** Court action will be by written order. Unless the court finds that, for extraordinary reasons, it would be contrary to the interests of justice, the order will be accompanied by a memorandum setting forth the factual determinations on which it is based and the reasons for the court action. The memorandum will not include the name of the complainant or of the judge whose conduct was complained about. The order and the supporting memorandum will be provided to the complainant and the judge. However, if the complaint has been referred to the Judicial Conference of the United States pursuant to paragraph (e) of this rule and the court determines that disclosure would be contrary to the interests of justice, such disclosure need not be made. The complainant and the judge will be notified of any right to seek review of the court's decision by the Judicial Conference of the United States and of the procedure for filing a petition for review.

**(j) Public availability of court action.** Materials related to the court's action will be made public at the time and in the manner set forth in Rule 17.

## **RULE 15. PROCEDURES FOR COURT CONSIDERATION OF A SPECIAL COMMITTEE'S REPORT**

**(a) Rights of judge complained about.** Within ten days after the filing of the report of a special committee, the judge complained about may address a written response to all of the members of the court. The judge also will be given an opportunity to present oral argument to the court, personally or through counsel. The judge may not communicate with individual court members about the matter, either orally or in writing.

**(b) Conduct of additional investigation by the court.** If the court decides to conduct additional investigation, the judge complained about will be given adequate prior notice in writing of that decision and of the general scope and purpose of the additional investigation. The conduct of the investigation will be generally in accordance with the procedures set forth in Rules 10 through 13 for the conduct of an investigation by a special committee. However, if hearings are held, the court may limit testimony to avoid unnecessary repetition of testimony presented before the special committee.

**(c) Voting.** Court action will be taken by a majority of those members of the court who are not disqualified.

## **Chapter VI: Miscellaneous Rules**

### **RULE 16. CONFIDENTIALITY**

**(a) General rule.** Consideration of a complaint by the chief judge, a special committee or the court will be treated as confidential business, and information about such consideration will not be disclosed by any judge, employee of the judicial branch or any person who records or transcribes testimony except in accordance with these rules.

**(b) Files.** All files related to complaints of misconduct or disability, whether maintained by the clerk, the chief judge, members of a special committee, members of the court or staff, and whether or not the complaint was accepted for filing, will be maintained separate and apart from all other files and records, with appropriate security precautions to ensure confidentiality.

**(c) Disclosure in memoranda of reasons.** Memoranda supporting orders of the chief judge or the court, and dissenting opinions or separate statements of members of the court, may contain such information and exhibits as the authors deem appropriate, and such information and exhibits may be made public pursuant to Rule 17.

**(d) Availability to Judicial Conference.** In the event that a complaint is referred under Rule 14(e) to the Judicial Conference of the United States, the clerk will provide the Judicial Conference with copies of the report of the special committee and any other documents and records that were before the court at the time of its determination. Upon request of the Judicial Conference or its Committee to Review Circuit Council Conduct and Disability Orders, in connection with their consideration of a referred complaint or a petition under 28 U.S.C. § 372(c)(10) for review of a court order, the clerk will furnish any other records related to the investigation.

**(e) Impeachment Proceedings.** The court may release to the legislative branch any materials that are believed necessary to an impeachment investigation of a judge or a trial on articles of impeachment.

**(f) Consent of judge complained about.** Any materials from the files may be disclosed to any person upon the written consent of both the judge complained about and the chief judge of



the court. The chief judge may require that the identity of the complainant be shielded in any materials disclosed.

**(g) Disclosure by court in special circumstances.** The court may authorize disclosure of information about the consideration of a complaint, including the papers, documents and transcripts relating to the investigation, to the extent that the court concludes that such disclosure is justified by special circumstances and is not prohibited by 28 U.S.C. § 372(c)(14).

**(h) Disclosure of identity by judge complained about.** Nothing in this rule will preclude the judge complained about from acknowledging that he or she is the judge referred to in documents made public pursuant to Rule 17.

## **RULE 17. PUBLIC AVAILABILITY OF DECISIONS**

**(a) General rule.** A docket-sheet record of orders of the chief judge and the court and the texts of any memoranda supporting such orders and any dissenting opinions or separate statements by members of the court will be made public when final action on the complaint has been taken and is no longer subject to review.

(1) If the complaint is finally disposed of without appointment of a special committee, or if it is disposed of by court order dismissing the complaint for reasons other than mootness or because intervening events have made action on the complaint unnecessary, the publicly available materials will not disclose the name of the judge complained about without his or her consent.

(2) If the complaint is finally disposed of by censure or reprimand by means of private communication, the publicly available materials will not disclose either the name of the judge complained about or the text of the reprimand.

(3) If the complaint is finally disposed of by any other action taken pursuant to Rule 14(d) or (f) except dismissal because intervening events have made action on the complaint unnecessary, the text of the dispositive order will be included in the materials made public, and the name of the judge will be disclosed.

(4) If the complaint is dismissed as moot, or because intervening events have made action on the complaint unnecessary, at any time after the appointment of a special committee, the court will determine whether the name of the judge is to be disclosed.

The name of the complainant will not be disclosed in materials made public under this rule unless the chief judge orders such disclosure.

**(b) Manner of making public.** The records referred to in paragraph (a) will be made public by placing them in a publicly accessible file in the office of the clerk of the court at One

Federal Plaza, New York, New York 10278-0001. The clerk will send copies of the publicly available materials to the Federal Judicial Center, 1520 H Street, NW, Washington, D.C. 20005, where such materials also will be available for public inspection. In cases in which memoranda appear to have precedential value, the chief judge may cause them to be published.

**(c) Decisions of Judicial Conference standing committee.** To the extent consistent with the policy of the Judicial Conference Committee to Review Circuit Council Conduct and Disability Orders, opinions of that committee about complaints arising from this court also will be made available to the public in the office of the clerk of the court.

**(d) Special rule for decisions of court.** When the court has taken final action on the basis of a report of a special committee, and no petition for review has been filed with the Judicial Conference within thirty days of the court's action, the materials referred to in paragraph (a) will be made public in accordance with this rule as if there were no further right of review.

**(e) Complaints referred to the Judicial Conference of the United States.** If a complaint is referred to the Judicial Conference of the United States pursuant to Rule 14(e), materials relating to the complaint will be made public only as may be ordered by the Judicial Conference

## **RULE 18. DISQUALIFICATION**

**(a) Complainant.** If the complaint is filed by a judge, that judge will be disqualified from participation in any consideration of the complaint except to the extent that these rules provide for participation by a complainant. A chief judge who has identified a complaint under Rule 2(j) will not be automatically disqualified from participating in the consideration of the complaint but may consider in his or her discretion whether the circumstances warrant disqualification.

**(b) Judge complained about.** A judge whose conduct is the subject of a complaint will be disqualified from participating in any consideration of the complaint except to the extent that these rules provide for participation by a judge who is complained about.

**(c) Disqualification of chief judge on consideration of a petition for review of a chief judge's order.** If a petition for review of a chief judge's order dismissing a complaint or concluding a proceeding is filed with the court pursuant to Rule 5, the chief judge will not participate in the court's consideration of the petition. In such a case, the chief judge may address a written communication to all of the members of the court, with copies provided to the complainant and to the judge complained about. The chief judge may not communicate with individual court members about the matter, either orally or in writing.

**(d) Member of special committee not disqualified.** A member of the court who is appointed to a special committee will not be disqualified from participating in court consideration of the committee's report.

**(e) Judge under investigation.** Upon appointment of a special committee, the judge complained about will automatically be disqualified from serving on (1) any special committee appointed under Rule 4(e), (2) the court as it considers the complaint, (3) the Judicial Conference of the United States and (4) the Committee to Review Circuit Council Conduct and Disability Orders of the Judicial Conference of the United States. The disqualification will continue until all proceedings regarding the complaint are finally terminated, with no further right of review. The proceedings will be deemed terminated thirty days after the final action of the court if no petition for review has at that time been filed with the Judicial Conference.

**(f) Substitute for disqualified chief judge.** If the chief judge of the court is disqualified from participating in consideration of the complaint, the duties and responsibilities of the chief judge under these rules will be assigned to the judge of this court in regular active service who is the most senior in date of commission of those who are not disqualified.

## **RULE 19. WITHDRAWAL OF COMPLAINTS AND PETITIONS FOR REVIEW**

**(a) Complaint pending before chief judge.** A complaint that is before the chief judge for a decision under Rule 4 may be withdrawn by the complainant with the consent of the chief judge.

**(b) Complaint pending before special committee or court.** After a complaint has been referred to a special committee for investigation, the complaint may be withdrawn by the complainant only with the consent of both (1) the judge complained about and (2) the special committee (before its report has been filed) or the court.

**(c) Petition for review of chief judge's disposition.** A petition to the court for review of the chief judge's disposition of a complaint may be withdrawn by the petitioner at any time before the court acts on the petition.

## **RULE 20. AVAILABILITY OF OTHER PROCEDURES**

The availability of the complaint procedure under these rules and 28 U.S.C. § 372(c) will not preclude the chief judge of the court or the court from considering any information that may come to their attention suggesting that a judge has engaged in conduct prejudicial to the effective and expeditious administration of the business of the courts or is unable to discharge all the duties of office by reason of disability.

## **RULE 21. AVAILABILITY OF RULES AND FORMS**

These rules and copies of the complaint form prescribed by Rule 2 will be available without charge in the office of the clerk of the court, One Federal Plaza, New York, New York 10278-0001.

## **RULE 22. EFFECTIVE DATE**

These rules apply to complaints filed on or after June 1, 1992 and to all complaints pending as of that date that were filed on or after March 1, 1991. The handling of complaints filed before that date will be governed by the rules previously in effect.

## **RULE 23. ADVISORY COMMITTEE**

The advisory committee appointed by the Court of International Trade for the study of rules of practice and internal operating procedures also shall constitute the advisory committee for the study of these rules, as provided by 28 U.S.C. § 2077(b), and shall make any appropriate recommendations to the court concerning these rules.

## APPENDIX: COMPLAINT FORM

[The complaint form follows. It is to be two pages, printed on one side only.]

### UNITED STATES COURT OF INTERNATIONAL TRADE COMPLAINT OF JUDICIAL MISCONDUCT OR DISABILITY

MAIL THIS FORM TO THE CLERK, UNITED STATES COURT OF INTERNATIONAL TRADE, ONE FEDERAL PLAZA, NEW YORK, NEW YORK 10007. MARK THE ENVELOPE "JUDICIAL MISCONDUCT COMPLAINT" OR "JUDICIAL DISABILITY COMPLAINT". DO NOT PUT THE NAME OF THE JUDGE ON THE ENVELOPE.

SEE RULE 2(e) FOR THE NUMBER OF COPIES REQUIRED.

1. Complainant's name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Daytime telephone: (    ) \_\_\_\_\_

2. Judge complained about:

Name: \_\_\_\_\_

3. Does this complaint concern the behavior of the judge in a particular lawsuit or lawsuits?

☐ Yes

☐ No

If yes, give the following information about each lawsuit (use the reverse side if there is more than one):

Docket number: \_\_\_\_\_

Are (were) you a party or lawyer in the lawsuit?

☐ Party

☐ Lawyer

☐ Neither

If a party, give the name, address and telephone number of your lawyer:

Docket numbers of any appeals to the Court of Appeals for the Federal Circuit:

4. Have you filed any lawsuits against the judge?

☐ Yes

☐ No

If "yes", give the following information about each lawsuit (use the reverse side if there is more than one):

Court: \_\_\_\_\_

Docket number: \_\_\_\_\_

Present status of suit: \_\_\_\_\_

\_\_\_\_\_  
Name, address and telephone number of your lawyer:

\_\_\_\_\_  
Court to which any appeal has been taken in the foregoing suit:

Docket number of the appeal: \_\_\_\_\_

Present status of appeal: \_\_\_\_\_

5. On separate sheets of paper, not larger than the paper this form is printed on, describe the conduct or the evidence of disability that is the subject of this complaint. See Rules 2(b) and 2(d). Do not use more than 5 pages (5 sides). Most complaints do not require that much.
6. You should either
- (1) check the first box below and sign this form in the presence of a notary public; or
- (2) check the second box and sign the form. You do not need a notary public if you check the second box.

☐ I swear (affirm) that--

☐ I declare under penalty of perjury that--

(1) I have read Rules 1 and 2 of the Rules of the United States Court of International Trade Governing Complaints of Judicial Misconduct or Disability, and

(2) The statements made in this complaint are true and correct to the best of my knowledge.

\_\_\_\_\_  
(Signature)

Executed on \_\_\_\_\_  
(Date)

Sworn and subscribed  
to before me \_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Notary Public)

My commission expires: \_\_\_\_\_